

EXEC ORDER # _____
 ADM ORDER # _____
 Date: _____

7.8 Checklist of Changes Relating to REORGANIZATION

Governor's Office for Policy and Management

Agencies who wish to process an executive or administrative order must complete this form and send it and the documentation described herein to the State Budget Director, Governor's Office for Policy and Management, Room 284, Capitol Annex, Frankfort, KY 40601. The information will be processed through GOPM and the various central agencies for their reviews as described below. Please be sure your answers on this form agree completely with the effects of the actual order.

Reorganizations that involve division levels and above require an executive order and reorganizations that involve just branches and below may be accomplished through an administrative order, unless specific statutes are being affected, in which case an executive order would be required. Reorganizations that involve all levels (units above and below division level) may be put totally in an executive order. Or, portions of the reorganization that deal with branch and lower levels not statutorily addressed may be separated into an administrative order. A split into separate orders is sometimes best.

Once all these review processes are completed, the new organizational structure will be entered into the master data base that serves the statewide computerized payroll, personnel, and accounting systems. Below are summary review requirements.

Summary of Who Reviews Executive Orders & Administrative Orders:	Exec. Order: Division or above	Admin. Order: Branch or below, usually	Who to Call for Information
Reviews ¹ are required by: Cabinet Head of agency Secretary of the Cabinet GOPM Finance Accounts Personnel Cabinet - Secretary Personnel Cabinet --Employee Management Personnel Cabinet --Classification Social Security Administration Interim Joint Legislative Committee (per KRS 12.028)	Y Y Y Y Y Y Y Y ² Y	Y N Y N Y Y Y N N	2611 7300--Policy Advisor 7750--Div. of Accounts 7430--Secretary 6464--Personnel Cabinet 573-0318--Personnel Cabinet 3952--Social Security 8100--Legislative Research Comm
Documents are created as necessary: Personnel Actions Labor distribution numbers Account numbers	Y ³ Y ⁴ Y	Y ³ Y ⁴ Y ⁵	6873--Personnel Cabinet 6464--Personnel Cabinet 7750--Div. of Accounts
File copies as follows: Initiating Agency GOPM Personnel Cabinet Legislative Research Comm. Secretary of State	Y Y Y Y Y	Y Y Y N N	

¹Approvals by the Executive Branch, per se, are not required for agencies headed by constitutional officers (KRS 12.028); as a practical matter, however, central computer/administrative systems require some consideration when contemplating changes of this nature. Consequently, reviews in that regard are necessary.

²Only if a new cabinet or department is created.

³If only a title change, system changes can be made without P-1 generation.

⁴Required only if new accounts are established or old ones deleted.

⁵Required only if accounting-type reporting is to be below division level.

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1. What is the agency/department name and cabinet/department number to which this reorganization applies?

2. What is the requested effective date of the order?

The effective date of the personnel or position action processing must be the same as the effective date of the order. To save staff time, personnel/position action processing should be done on the 16th of the month.

3. Please provide the name and phone number of the contact person for this reorganization.

4. Will the division, branch, section, or unit affected by this order be moving to or from a different department or cabinet (i.e., changing appointing authorities)? If yes, then you must complete the executive order process instead of the administrative order process.

☐ YES ☐ NO

5. Cite any new laws (in addition to KRS 12.028), regulations, current statutory or other legal basis for the order or any statutes that require modification. Please attach a copy of the law or regulation. If any statutes require modification, an executive order must be processed.

6. Will any new cabinet/department numbers result from this executive order? (If yes, the State Office of Social Security must be notified to obtain an Employer ID Number.)

☐ YES ☐ NO

7. How many total positions will be involved in the reorganization?

You must complete the "Position From-To List" (page 7.25) accounting for each affected position number.

"Position From-To List" attached

☐ YES ☐ NO

If more than **25 positions** are involved, the Personnel Cabinet will produce a list of P-1s to be automatically generated from the submitted "Position From-To List". You will have an opportunity to review and make corrections before personnel actions (P-1s) are automatically generated.

If fewer than **25 positions** are involved you are required to electronically submit P-1s.

NOTE: For detailed instructions on preparing personnel actions, please review "Personnel Actions Resulting From Reorganizations" in section 7.3 in Reorganization Procedures.

8. List the number of employees for whom there may (unless the employee agrees) have to be an involuntary transfer or involuntary demotion because of the reorganization:

List the number of employees for whom there may have to be a reclassification or reallocation as a result of the reorganization.

9. Are there any organizational units being established?

☐ YES ☐ NO

If yes, will any (not just net) additional staff be required?

☐ YES ☐ NO

If additional staff are required, position establishment actions will have to be electronically submitted to the Personnel Cabinet separately for review, after the reorganization is finally approved and organizational numbers are entered into the master organizational database.

Indicate the number of additional supervisors/management positions that will be required by the reorganization:

Indicate the number of other additional positions that will be required by the reorganization:

The nature of action code(s) to use on the personnel action for a reorganization process is E41—Re-org per Executive Order, E42--Re-org per Administrative Order, or E43--Re-org per Legislation.

10. Are there any organizational units being abolished?

☐ YES ☐ NO

If yes, are there any affected employees who will not be moved to a new unit?

☐ YES ☐ NO

If yes, KRS 18A.113, 1131, 1132 relating to layoff must be followed. Please provide all necessary information relating to any such layoff. Layoff plans may be submitted along with or separate from the order but must be approved by the Secretary of Personnel prior to approval of the order.

11. You must supply a "Structural From-To List" (page 7.24) showing only affected organizational numbers to be entered into the master organizational database.

"Structural From-To List" attached

☐ YES ☐ NO

Codes to be used on this form are: A (Establish), D (Delete), C (Rename) and must be consistent with language used in the Order. If utilizing (C) Rename, supervisory positions may be reorganized. If utilizing (A) Establish, supervisory positions must be filled by appointment, promotion, transfer or demotion.

12. Attach a reorganization plan, current and proposed organizational charts.

Reorganization Plan attached

☐ YES ☐ NO

Current Organizational Chart attached

☐ YES ☐ NO

Proposed Organization Chart attached

☐ YES ☐ NO

13. Will the payrolls affected be:

P-1 Payrolls? (payrolls certified)

☐ YES ☐ NO

Non P-1 Payrolls? (no payroll certification)

☐ YES ☐ NO

14. Will any changes in labor distribution numbers be required?

☐ YES ☐ NO

If yes, how many positions will be involved?

If more than 25 will be involved, the changes will be generated via a "From-To" payroll distribution list provided by the Personnel Cabinet.

☐ YES ☐ NA --Less than 25 involved

15. Will distribution of payroll reports or report structures out of UPPS need to be modified?

☐ YES ☐ NO

If yes, what is the RJE number (agency printer) to which they should be routed?

16. Are any new program codes being established in the Statewide accounting system or current ones changed?

☐ YES ☐ NO

If yes, a list of all appropriation, allotment, and posting level codes should be attached.

- 17 Will there be a need for funds to be moved to a different agency?
(Note: KRS 12.028(7) states that "funds transferred due to reorganization shall be maintained in separately designated accounts. Any excess funds resulting from a reorganization shall lapse to the general fund surplus account.")

☐ YES ☐ NO

- 18 Will there be an increase or decrease in any funding requirements as a result of this reorganization?
If yes, state the change:

☐ YES ☐ NO

- 19 If additional positions will be required, state the GOPM Policy Advisor or other person you worked with in adjusting the cap for your agency.
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NOTES:

Copy Distribution:	Approval Required for this order?	Approval	Date
1. Governor's Office for Policy & Management	X		
2. Division of Accounts			
3. State Office for Social Security			
4. Personnel--Classification	X		
5. Personnel--Personnel Administration, Commissioner Personnel—Processing & Records Branch Personnel--Payroll Branch	X		
6. Personnel--Secretary	X		